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A LIMITED LIABILITY PARTNERSHIP

April 2, 2002



Commissioner for Patents
Washington, D.C. 20231

RECEIVED
APR 05 2002
Technology Center 2100

Re: U.S. Non-Provisional Patent Application No. 09/991,947
Filed: November 26, 2001
For: **Contextual Index Based Information Soliciting Retrieval and Self-
Updating Management Systems and Methods**
Inventor: Philippe LABERGE
Our Ref: 03705.0002.NPUS00

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. Information Disclosure Statement;
2. Form PTO-1449 (1 page) with 11 attached references; and
3. Return postcard.

It is respectfully requested that the attached postcard be stamped with the filing date of
these documents and returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency,
or credit any overpayment, to our Deposit Account No.08-3038 referencing docket number
03705.0002.NPUS00. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise
provided for herewith are required to prevent abandonment of the present patent application, then
such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be
charged to our Deposit Account No.08-3038 referencing docket number 03705.0002.NPUS00.
A duplicate copy of this letter is enclosed.

Respectfully submitted,

Michael J. Bell (Reg. No. 39,604)
Michael J. Stimson (Reg. No. 45,429)

Enclosures



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of: Philippe LABERGE

Appl. No. 09/991,947

Filed: November 26, 2001

For: **Contextual Index Based Information
Soliciting Retrieval and Self-Updating
Management Systems and Methods**

Art Unit: 2161

Examiner: To be assigned

Attorney Docket: 03705.0002.NPUS00

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Information Disclosure Statement

Commissioner for Patents
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not

exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited by or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

Applicants have checked the appropriate boxes below.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No statement under 37 C.F.R. § 1.97(e) or fee is required, or
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance, or action that otherwise closes prosecution in the application, and
 - ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or
 - ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2), or
 - ☐ c. Attached is our Check No. _____ in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but on or before payment of the Issue Fee. Attached is our Check No.

_____ in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(i), and

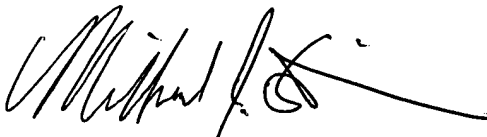
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. Relevance of the non-English language document(s) is discussed in the present specification.
- ☐ 5. The document(s) was/were cited in a corresponding foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 7. The Examiner's attention is directed to co-pending U.S. Patent Application No. _____, filed _____, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in Application No. _____, filed _____, which is relied upon for an earlier filing date under

35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038 referencing docket number 03705.0002.NPUS00.

Respectfully submitted,

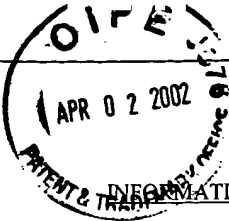
A handwritten signature in black ink, appearing to read "Michael J. Bell", with a long horizontal flourish extending to the right.

Michael J. Bell (Reg. No. 39,604)

Michael J. Stimson (Reg. No. 45,429)

Date: April 2, 2002

HOWREY SIMON ARNOLD & WHITE, LLP
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 FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 03705.0002.NPUS00	APPLICATION NO. 09/991,947
	APPLICANT Philippe LABERGE	
	FILING DATE November 26, 2001	GROUP 2161

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	REF. NO.	DOCUMENT NUMBER	GRANT DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,754,939	05/1998	Herz et al.			
	AB1	5,903,729	05/1999	Reber et al.			
	AC1	6,014,638	01/2000	Burge et al.			
	AD1	6,026,379	02/2000	Haller et al.			
	AE1	6,026,433	02/2000	D'Arlach et al.			
	AF1	6,029,141	02/2000	Bezos et al.			
	AG1	6,029,195	02/2000	Herz			
	AH1	6,055,573	04/2000	Gardenswartz et al.			
	AI1	6,065,047	05/2000	Carpenter et al.			
	AJ1	6,081,837	06/2000	Stedman et al.			
	AK1	6,189,003	02/2001	Leal			

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FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS	REF. NO.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AM1						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AN1						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AO1						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AP1						<input type="checkbox"/> Yes <input type="checkbox"/> No

EXAMINER INITIALS	REF. NO.	OTHER (Including Author, Title, Date, Pertinent Pages, etc.)
	AS 1	
	AT 1	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.